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ABSTRACT

The 3-year retrospective catalog conversion project described involved the conversion of 446,913 selected monographic records of six major New York State research libraries into machine readable format. The records were searched against the OCLC, Inc., data file. If a match or an identical record was found, the corresponding OCLC record was revised to include the call number and locator information of the participant. A complete catalog record was entered into the data file for any record unique to the file. Objectives of the project include the strengthening of the resource capabilities of New York's major networks--the New York State Interlibrary Loan Network and the State University of New York/OCLC. Included in the report are discussions of the project's participants and its history, conversion administration and staffing, conversion methodology, and quality control. The bulk of the report consists of six appendices: (1) schedule of tasks implemented, (2) surveys of participants' shelflists, (3) a list of subject collections contributed by participants, (4) photocopying instructions, (5) job descriptions, and (6) input procedures. (RBF)

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University of the State of New York
State Education Department
New York State Library

Research Library Resources Access Project
Final Report

A Retrospective Conversion Project
Supported By A Grant Under Title II C
Of The Higher Education Act

New York State Library
in cooperation with the
State University of New York
and the following libraries:

Cornell University
New York University
State University of New York at Albany
State University of New York at Binghamton
State University of New York at Buffalo
State University of New York at Stony Brook

New York State Library
Cultural Education Center
Albany, New York 12230
1982

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RESEARCH LIBRARY RESOURCES ACCESS PROJECT

FINAL REPORT

The New York State Library in cooperation with the State University Office of Library Services was awarded $805,849 for a retrospective catalog conversion project. Begun October 1, 1978, the project spanned over three years through December 1981. The report which follows, mandated under the provisions of the Title II C Higher Education Act grant, documents the history and accomplishments of the project.

PROJECT DESCRIPTION

Retrospective catalog conversion of selected monographic records of six major New York State research libraries in machine readable format utilizing an existent national data base, OCLC, Inc. Records were searched against the OCLC, Inc. data file. If a match or an identical record was found, the corresponding OCLC record was revised to include call number and locator information of the participant. A complete catalog record was entered onto the data file for any record unique to the file.

PROJECT ADMINISTRATOR

NEW YORK STATE LIBRARY

PROJECT PARTICIPANTS

2 PRIVATE INSTITUTIONS:
CORNELL
NEW YORK UNIVERSITY

4 PUBLIC INSTITUTIONS:
SUNY UNIVERSITY at ALBANY
SUNY UNIVERSITY at BINGHAMTON
SUNY UNIVERSITY at BUFFALO
SUNY UNIVERSITY at STONY BROOK

Invitation was extended to these six institutions to participate in the project because they are major New York State Research Libraries with combined holdings in excess of twelve million volumes and possess distinguished and unique collections of inestimable value to scholarly and research communities. Additionally, they are deeply committed to resource sharing, Cornell and New York University serving as backup resource libraries in the New York State Interlibrary Loan Network (NYSILL), the four SUNY University Centers, active participants in the SUNY/OCLC interlibrary loan network.

PROJECT OBJECTIVES

-- Convert 446,913 records according to the following institutional quotas: 140,000 records for New York University; 110,000 for Cornell; 196,913 for State University, as follows: 63,185 Buffalo; 51,695 Stony Brook; 44,333 Binghamton; and 37,700 Albany.

-- Use a machine readable data base already available.

-- Adhere to national standards for bibliographic data input and storage.

-- Promote cost effective resource sharing.

-- Increase resource sharing.

-- Provide borrowing libraries or library systems with direct access to accurate bibliographic and holding data.

-- Increase known monographic locations.

-- Strengthen resource capabilities of New York's two major networks (NYSILL and SUNY/OCLC).

-- Foster more efficient interlibrary loan delivery.

-- Lay the groundwork for the development of a statewide electronic interlibrary loan delivery system.

PROJECT HISTORY

Preliminary planning was done by a pre-project team consisting of Peter Paulson and J. Van der Veer Judd (project co-directors from the New York State Library) and Glyn Evans and Teresa Strozik (representatives from SUNY Central Office of Library Services, the co-sponsoring organization). Meeting six times prior to October 1978, they achieved agreement on basic procedures for; a) selection criteria; b) conversion administration (centralized vs. decentralized); c) document method of reproduction; d) matching criteria; e) work procedures; f) quality control/edit procedures. In addition, the group assumed responsibility for equipment and site preparation; the preparation of job descriptions and their submission to Civil Service for approval; the acquisition of RCPD authorization numbers for participants; and the recruitment of supervisory staff.

See APPENDIX I for schedule of tasks implemented

ACQUISITION OF DATA FOR PLANNING

Analysis of the literature supplied by the Florida COMCAT and Texas AMIGOS retrocon projects along with information acquired from an onsite observation of OCLC's retrocon site in Ohio provided the pre-project team with the necessary background data for

basic project planning. Additional information was obtained through two shelflist surveys. From the first survey conducted in August 1978, the planning team acquired information on the characteristics of each participant's shelflist records which was useful in predicting hit and throughput rates as well as in designing optimum conversion methodology. The second survey, conducted a month later, attempted to measure the uniqueness of specific subject segments of each participant's shelflist and was instrumental in determining which collections should be converted.

See APPENDIX II for original surveys.

SELECTION CRITERIA AND ADVISORY COMMITTEE

The pre-project planning team worked closely with a ten member advisory committee, composed of Ina C. Brownridge (SUNY Binghamton), John M. Cory (New York Public Library), Glyn T. Evans (State University of New York at Albany), John P. McDonald (University of Connecticut), J. Gormly Miller (Cornell University Libraries), Carlton C. Rochell (New York University), Saktidas Roy (SUNY Buffalo), C. James Schmidt (SUNY Albany), Joseph F. Shubert (New York State Library), and Jack B. Smith (SUNY Stony Brook), to develop criteria for the selection of subject collections for conversion. The selection criteria adopted required that collections be unique, possess national or state significance, be supportive of strong academic program in the institution, be in high demand as evidenced by a significant volume of scholarly and interlibrary loan use, and have a low rate of obsolescence. These selection guidelines were given to the director of each participating institution, to whom responsibility for selecting appropriate subject collections for conversion was delegated.

Appendix III lists the subject collections ultimately contributed by participants. Cornell was unique in that it forwarded to the project monographic series analytics in lieu of specific subject collections. Cornell's contribution, while a deviation from the original proposal, has augmented the project's value by making this material easier to identify and locate, and hence far more accessible to the library user than previously.

METHOD OF DOCUMENT REPRODUCTION

Paper reproduction of shelflist records was adopted, allowing libraries to retain originals while providing the central conversion site with legible and cost effective copy. This procedure eliminated any need to develop security safeguards since originals were retained by the institution.

Institutions reproduced their own shelflist records for which they were reimbursed by the project at a rate of .024 cents pr record. Total expenditure incurred by the project for copying was $7,336.

Generally four to six records were reproduced on a sheet. Five hundred sheets grouped together formed a batch or packet which was then forwarded to the central site by either courier or mail. Once received by the project, packets were kept together by institution on log-in receipt tables.

See APPENDIX IV for xeroxing instructions given participants

CONVERSION ADMINISTRATION AND STAFFING

Conversion was performed at a central site set up at the New York State Library and equipped with six OCLC 105 Beehive terminals. Eighteen staff worked in two shifts, between 7 a.m. and 10 p.m., to take advantage of OCLC work hours and to make full use of the six terminals used by the project. The original proposal called for a project supervisor, an assistant librarian, five library technical assistants, one senior and ten data entry machine operators. However, to meet the changed needs of the project, this staff configuration was altered in the final year of the project--the number of library technical assistants increased to six, while the number of data entry machine operators was reduced to eight. All project positions were filled from existent, or in the case of library technical assistants, from newly created New York State Civil Service categories. Project employees were given the same benefits as regular State employees.

Recruitment and retention of staff was a continuous problem, one that cost the project 5,866.50 man hours of production. Except for a few months, the project never had a full complement of data entry machine operators on the second or 2-10 p.m. shift, often lacking one and frequently as many as four operators. Periodic State mandated freezes on hiring added to the problem, producing delays, once for as long as a month, before vacancies could be filled. As anticipated turnover was highest for the data entry machine operators. Of the fifty-four individuals who occupied positions on the project, thirty-two were employed as operators, with an average length of stay of nine months. The number of individuals employed in each job category and the average length of stay is provided in the following chart.

JOB CATEGORY	# POSITIONS	# PERSONS IN POSITION	AVERAGE STAY
Senior Librarian	1	1	36 months
Assistant Librarian	1	4	9 months
Library Technical Assistants	5 (rev. to 6)	14	12 months
Senior Data Operator	1	3	10 months
Data Entry Operator	10 (rev. to 8)	32	9 months

See APPENDIX V on job descriptions

CONVERSION AIDS AND TRAINING

Written guidelines were prepared for project specific procedures encompassing searching, matching, original input, call number formatting and was used to supplement the basic conversion materials supplied by OCLC, Inc. which included: 1) searching the on-line catalog; 2) books format (fixed and variable MARC field tags and sub-codes); 3) bibliographic I & K input standards; 4) OCLC/MARC languages and language codes; 5) country of publication codes; 6) substitution symbols for diacritics. Memos were found the most effective method by which to alert staff to the numerous changes implemented by OCLC.

Staff training, initially provided by SUNY/OCLC staff, was assumed by project supervisory staff. All staff received basic training on how to operate a CRT terminal and on searching, matching, inputting, call number formatting procedures. In addition, all staff, except the data entry machine operators, received intensive training on MARC format, i.e., tagging, indicators, sub-field coding. Operators were not required to learn MARC format. Instead, records were provided with tagging information, since sight tagging was considered too time consuming and unreliable because of staff turnover.

New staff received one-on-one training and all their work was carefully monitored. All terminal tasks (updating and original input) were placed in the save mode during the learning period. It usually took new staff at all levels anywhere from two to four weeks to gain a thorough understanding of their assignments, achieve a high and consistent degree of accuracy and reach production quotas.

See APPENDIX VI for input procedures.

CONVERSION METHODOLOGY

Only monographic records were converted. Serials, maps, scores, and other non-monographic materials were by-passed. Records were searched against the OCLC, Inc. data file, and either updated (if a match or identical record was located) or set aside for additional searching (if no match could be located or if a match was questionable). Approximately 80,334 records needed additional searching. Of these, 12,448 titles or 15% were found and updated. Unique records were tagged before being key entered online.

A record was considered to match when a main entry (author), short title, edition, publisher, publication date, and pagination was exact. If present, the Library of Congress card number was required to be identical. Whenever a match was found the corresponding OCLC record was revised to include: a) the participant's local call number; b) the participant's locator information; and c) a one or two digit symbol in the holdings statement for operator identification, before being updated. No attempt was made to alter any other information, i.e., tracings, when it differed from that displayed on the screen. The OCLC control number was provided on the sheet to the right of the record updated in deference to participants' wishes.

Unique records were tagged according to MARC format, following guidelines set forth in OCLC's editing manual. Tagging, indicator information, as well as special instructions were entered on workforms, while subfield coding was inserted in its proper location on the records themselves.

Only thirty percent of all unique records were in English; the remaining 70% in over 31 foreign languages with distribution as follows: German (28%); French (15%); Italian (11%); Swedish and Spanish (3% each); Latin (2%). Seven percent were in 25 non-romance languages such as Russian, Hungarian, Serbocroatian, and Chinese, requiring frequent referral of foreign language dictionaries, transliteration tables, and diacritic conversion tables. Project staff could not determine the language of 1% of the records.

Frequently atlases had to be consulted to determine country of publication, while gazetteers and an unabridged dictionary provided clues as to the meaning of obscure tracings. Since January 1981, all name headings for unique records had to be searched against the L.C. Name-Authority file in OCLC and altered to conform to the AACR-2 form of entry. Complete bibliographic records were entered at the "I" level while records with limited bibliographic entry were entered at the "K" level.

The initial searching, matching, updating, and key entry of unique records online was performed by data entry machine operators, while library technical assistants were responsible for searching the more complex records for matches and updating them. The latter also prepared workforms for all new titles, providing field tags, indicator information, and special instructions on the workforms, while including subfield coding in its proper location on the records themselves.

The matching operation was emphasized during the first two years, leaving only 80,000 records to be searched against the OCLC, Inc. data file in the final year. This decision proved fortuitous since OCLC, Inc. initiated a sliding fee structure for matching on September 1, 1980 and resulted in considerable dollar savings to the project, limiting fees incurred for matching to $10,000.

QUALITY CONTROL

Originally the pre-project planning team hoped to capture data entered by the data entry machine operators on the Atlantic Research Corporation's Intershake 11 equipment. LA program was to be run against the data tape produced to detect major errors. Records containing errors were to be printed out along with a random sample of every nth record. This approach had to be abandoned however since the equipment could not capture more than 1,024 characters per record.

The quality control system ultimately devised was stringent albeit time consuming, based on daily editing of all tasks performed, whether matching, original input, tagging, or workforms. In the final two years of the project, all workforms and original input was reviewed, while matching was randomly sampled (10 records for each operator per day). The senior data entry machine operator was responsible for reviewing records matched to ascertain that they were matched under the correct institution according to established guidelines. This individual, with the aid of library technical assistants, was also responsible for editing original input. A General Electric Terminet 200 was used to generate print copies of all unique titles processed. Errors were detected by comparing the resulting print copy against the original record and workform. The project's two librarians edited all the workforms prepared by the library technical assistants.

PRODUCTION STANDARDS

Staff was expected to meet minimum production quotas which were adjusted for variations in OCLC response time and for the difficulty of records being converted. Data entry operators were expected to maintain a match rate of 25 records per hour, an original input rate of 5/6 records per hour unless response time exceeded 15 seconds or the majority of records were difficult (determined by the entry requiring three screens of input or an excessive number of diacritics). Library technical assistants were required to maintain a pre-search rate of 30 records per hour and a tag rate of 10 records per hour. The tag rate was low because of the complexity of the records handled by the project.

PRODUCTION

The original proposal called for 562,000 records to be converted. This figure was subsequently adjusted downward because of: a) the type and difficulty of the records supplied by Cornell (monographic series analytics generally took project staff three times longer to process than records supplied by all other participants); b) a reduction in the total terminal hours available to the project. While the original conversion projection was based on the availability of each terminal for fifteen hours daily, with OCLC operational between 7 a.m. and 11 p.m., and a 7 1/2 hour work day per project staff; in reality the project had only 13 hours per terminal available to it on a daily basis. OCLC was only up till 10 p.m., creating a one-hour shift overlap; and there were only 7 production hours available per employee, two fifteen minute breaks not being accounted for in the original proposal.

The HEA II C Project did achieve 100% of its revised conversion goal. A total of 462,932 selective monographic titles were converted. Institutional quotas were met whenever possible, and even slightly exceeded as indicated below:

INSTITUTION	CONVERSION QUOTA	# RECORDS CONVERTED	# OVER
CORNELL	110,000	109,669	COMPLETED
NEW YORK UNIVERSITY	137,783	147,456	9,673
SUNY BINGHAMTON	44,333	49,924	5,591
SUNY STONYBROOK	51,695	54,316	2,621
SUNY ALBANY	37,700	38,106	406
SUNY BUFFALO	63,185	63,466	281

New York State location symbols were supplied for 308,516 or 82% of the records, while 82,416 unique or new records were entered, representing 18% of the total. There were 4.6 times as many updates (matching) transactions as new record input transactions (actually the reverse of our original estimate of 80,737 updates and 450,000 unique input), which bears eloquent testimony to the strength of OCLC, Inc. with its 7.5 million plus record data file. The percentage of unique records varied considerably by participant, Cornell contributing 35,461 records or the largest percentage (32%), while SUNY Albany contributed the lowest percentage (8%) or 2,960 records. The ratio of unique to matching records converted for each participant is depicted in the graph which follows.

	CORNELL	NYU	BUFFALO	STONYBROOK	BINGHAMTON	ALBANY
Total Records	109,669	147,456	63,466	54,316	49,924	38,106
Update	74,461	128,307	53,023	44,013	45,571	35,141
Original Input	35,461	19,149	10,443	10,303	4,353	2,960

Update

Original Input

Daily input averaged 688.97 records. 13.2 titles were processed per hour. Data entry machine operators searched 32.2 records per hour; matched and updated 24.8 records per hour; and input 5.6 new records per hour. Library technical assistants maintained a pre-search rate of 26.2 records per hour and tagged 10.2 records pr hour. See chart on the next page for the different hourly rates for these activities by fiscal year.

RATES FOR ACTIVITIES INVOLVED IN PROCESSING RECORDS

ACTIVITIES	HOURLY RATES FY 1978-79	HOURLY RATES FY 1979-80	HOURLY RATES FY 1980-81	AVERAGE RATES FY 1978-81
SEARCHING	31.3	28.8	36.5	32.2
UPDATING	21.9	21.7	30.9	24.8
ORIGINAL INPUT	6.4	5.2	5.2	5.6
PRESEARCHING	31.0	23.0	24.5	26.2
TAGGING	10.4	10.0	10.2	10.2
OVERALL RATE OF TITLES HANDLED PER HOUR	13.7	15.5	10.5	13.2

	# RECORDS	# RECORDS	# RECORDS	# RECORDS
DAILY INPUT AVERAGE	831.36	728.96	506.60	688.97

Staff used 32,361.50 terminal hours or 64.75% of the 49,978 terminal hours available to it. Almost an equal amount of hours was devoted to searching, matching, updating (14,246.75 hours or 44%) as to original input (13,643 hours or 42% of the total available time). The remaining 14% of the total terminal time or 4,471.75 hours was spent on the following activities: 10% on re-searching complex records (3,157.25 hours); 3% on editing (912.50 hours); and 1% on Name-Authority file searching (402 hours). OCLC was down for 5.6% of the total terminal time for a total of 2,778.50 hours. A break down of terminal activity by project fiscal year is provided on the next page.

USE OF TERMINAL TIME

Activity	Fiscal Year 1978/79		Fiscal Year 1979/80		Fiscal Year 1980/81		Total for Project	
	Hours	% of Yearly Total	Hours	% of Yearly Total	Hours	% of Yearly Total	Hours	% of Total
Updating:	3,416.5	49%	8,591.0	64%	2,239.25	19%	14,246.75	44%
Original Input:	2,923.0	42%	3,761.0	28%	6,959.0	58%	13,643.0	42%
Research:	604.75	9%	1,146.0	8%	1,406.5	12%	3,157.25	10%
Edit:					912.5	8%	912.5	3%
Name/Authority File:					402.0	3%	402.0	1%
Yearly Total:	6,944.25		13,498.0		11,919.25		32,361.5	

APPRAISAL OF PROJECT PERFORMANCE

IMMEDIATE

The Research Library Resources Access Project was successful in meeting its objectives and goals as the following comparison between stated goals and objectives and those actually accomplished by the project indicates:

RECORD CONVERSION GOAL

STATED	ACCOMPLISHED
460,997 records to be converted (revised from 562,000)**	462,932 records converted

PRODUCTION STANDARDS

STATED	ACCOMPLISHED
HOURLY RATE: 10 titles per hour DAILY RATE: 650 records (per five terminals utilized 13 hrs. daily; revised from 750 records daily, based on five terminals utilized 15 hours daily)	HOURLY RATE: 13.2 titles per hour DAILY RATE: 688.97 records input

COST PER RECORD CONVERTED

STATED	ACCOMPLISHED
$1.33 per record converted	$1.74 per record converted

**Conversion and production statistics have been reduced because of decreased terminal availability. Whereas original projections were based on 15 hours of terminal availability per terminal; in fact, only 13 hours were available per terminal daily.

As called for in the original proposal, a national machine-readable data file was used and national standards for bibliographic data input and storage were adhered to, contributing to the cost effectiveness of the conversion effort ($1.74 per record converted). The project has improved interlibrary loan delivery and strengthened New York's two major networks (NYSILL and SUNY/OCLC) by providing borrowing libraries with direct access to accurate bibliographic and holding data of six major New York State research libraries and by increasing the availability of known monographic locations.

LONG RANGE

The value of the project to researchers within New York State and nationwide will be demonstrated and proven in the years to come. The project complemented the State University of New York (SUNY) RETROCON project which added 1.8 million records from 30 SUNY institutions at a cost of $1.4 million. These two retrospective conversion activities already have had an impact on the State's networks, both having experienced an increase in use and higher satisfaction rates (ratio of requests filled to requests received). A recent study of SUNY institutions alone has shown a 16 percent increase in interloan activities since RETROCON, with a satisfaction rate of 73 percent.

The HEA II C Project is one of many investments New York State has made in retrospective conversions. The New York State Library has authorized an expenditure of $2.97 million over three years on regional machine readable bibliographic conversion projects. In addition, the Library had developed an internal on-line bibliographic file of 771,000 records to replace its card catalog. Although the latter is currently being used for on-site public service, off-site access to this file was demonstrated at the 1980 annual conference of the New York State Library Association. The online State Library catalog and the retrospective conversion projects described will provide a sound basis for electronic interloan systems of the future.

APPENDIX 1

TITLE II C HEA

Operating Plan Timetable

TASK	RESPONSIBILITY	TARGET DATE	STATUS
Design shelflist survey form, draft cover letter, mail	Evans, Shubert	July 14	Done
Survey shelflist	Libraries	July 15	Done
Analyze data	SUNY	August 3	Done
Determine hit rate and thruput	State Library/SUNY	August 3	Done
Consider alternatives for reproducing source documents	State Library/SUNY	July 28-Aug 3	Done
Decide security document format and method reproduction	State Library/SUNY	November 15	Done
Develop floor plan	State Library	July 7	Done
Final floor plan	Wolff	September 1	Done
Locate & place furniture	State Library	October 15	Done
Order modem	Strozik	July 31	Done
Order terminals	Strozik	July 28	Done
Install modem		October 3	Done
Install terminals	Strozik	October 5	Done
Apply for RCPD authorization numbers	Strozik	July 14	Done
Obtain library signatures	Strozik	August 3	Done
Obtain authorization numbers	Strozik	September 1	Done
Order subscription tape	Strozik	September 1 to be discussed Sept 27	Done
Develop training material	Wolff & Strozik	October 1 on going during Aug-Sept	Done

TASK	RESPONSIBILITY	TARGET DATE	STATUS
Develop procedures manual	Wolff	October 15	Done
Develop document control procedures	State Library/SUNY	October 15	Done
Develop quality control procedures	State Library/SUNY	November 1	Done
Write job descriptions	Wolff	July 7	Done
Obtain approval from Civil Service	Paulson	October 1	Done
Interview staff	Judd & Wolff	October 15	Done
Hire staff	Judd & Wolff	November 1	Done
Staff training	Wolff/SUNY SUNY will do system basic, Sandy project specific procedures	November 1	Done
Establish collection selection criteria	Advisory Committee	September 27	Done
Prepare source documents	Libraries	October 15 start Staged over three years	
Ship source documents	Libraries	November 1 start Staged over three years	

Revised 9/21/78

APPENDIX II

TITLE IIc GRANT

Preliminary General Shelflist Survey

A. Purpose

To develop, based on a random sampling technique, information which will describe the characteristics of cards in the shelflist. This information will be used in the development of optimal conversion methods by which selected segments of the shelflist will be converted into records in the OCLC in a centralized, off-campus system. The information will help determine hit rate, through-put rate, and operating procedures.

B. Procedures - General

1. A survey form has been developed upon which a library can record some gross information about the information content and physical characteristics of a shelflist card. One form will be used for each card sampled. The presence of a particular element or characteristic is marked by an 'X' in a box. Absence is indicated by leaving boxes empty except in the specific case of the information content questions.

2. 200 cards will be sampled, in two batches of 100. Each batch of 100 cards will be computed and tabulated separately and matched against the other to assess consistency.

3. Cards will be selected from the shelflist using a random number table which will identify the drawer and card to be examined and recorded.

4. Each card sampled will also be photocopied, and the photocopy returned with the coded sheet.

5. The results will be tabulated on the SUNY Central computer by the SUNY/OCLC Network.

C. Procedures - Specific

1. If the library has a separate serials shelflist do not include it in the file to be sampled.

2. Number each drawer sequentially beginning with 1, going through the shelflist in ascending classification notation order, continuing through other classifications if necessary (e.g., Dewey collections in compact storage, or other special

classifications) until all drawers are numbered.

3. Use the attached random number table. Take the first three digits of the first number and use them to identify the drawer.

Then go to the next five digit random number in the column and take the first three digits of that number to identify the card in the drawer.

e.g.,
First random number is 19612
= Drawer number 196
Second random number is 39141
= Card number 391

4. Record the characteristics of that card on a coding sheet.

5. If the first three digits of the next random number are a higher number than either drawers in the shelflist or cards in that drawer, go to the next successive random number until a card is found.

e.g., if there are not 929 cards in the drawer which may be identified in the fourth random number in the table (i.e., 92901), go to the next number, which is 03551 and record the characteristics of the 35th card in the same drawer.

6. If the table is exhausted before identifying 200 cards, return to beginning of table and repeat using last three digits. e.g., 19612, use 612.

7. A quick guide to identify the card is to use a rule and identify 100 cards to the inch compressed.

8. Put an X in each appropriate box as shown in the attached sample. Also complete the four questions at the foot of the coding sheet.

9. When 200 sheets have been completed, send to SUNY Central Administration as soon as possible using enclosed address address labels.

Identify each sheet with the OCLC Institution code please.

TITLE IIc GRANT

GENERAL SURVEY QUESTIONS

Please return this form when returning survey coding forms.

Name of Institution _____

OCLC Symbol _____

Contact Person for any further questions _____

Telephone No. _____

How many drawers in shelflist? _____

Approximate number of cards per drawer? _____

Is there a separate shelflist for serials? _____
other media? _____

Were these shelflists included in sample? Serials: Y N
Media: Y N

Are there other departmental library shelflists which were not included in sample but which may contain candidate material for conversion? Y N

Please describe them briefly: _____

_____

_____

_____

If you have ANY QUESTIONS about the survey procedures please call GLYN EVANS or TERESA STROZIK - (518) 474-1635.

Thank you.

Title IIc
SHELFLIST SURVEY

Institution Holding Code

(OCLC) _____

DATA ELEMENTS	Present (1)	Absent (2)	Found on Card Face (1)	Found on Verso (2)	Found on Continuation Card (3)	Info. printed (inc. typing and computer produced) (1)	Info. xeroxed (2)	Info. in other than black ink (3)	Hand written information (4)	Found on main entry card only (1)	Found elsewhere (2)
Unit card information (author, title, imprint, collation, etc.)											
LC classification #											
Dewey classif. #											
Other classif. #											
Notes (incl. series notes)											
Tracings											
Local holdings information											
OCLC #											
LC Card #											

GENERAL INFORMATION:
Print __(1) Nonprint __(2)
Serial __(1) Non-Serial __(2)
Roman alphabet __(1) Non-Roman __(2)
L.C. cataloging __(1)*
NUC cataloging __(2)*
OCLC cataloging __(3)*
* You may check more than one box.

INSTRUCTION: Complete a box by putting an 'X' where applicable. Leave ALL other boxes EMPTY.

TABLE XII

10,000 Random Digits

R \ C	0		1		2		3		4	
	01534	66789	01534	66789	01534	66789	01534	66789	01534	66789
00	19612	78430	11661	94770	77603	85669	86368	12665	30012	75939
01	39141	77400	28000	64238	73258	71794	31740	26256	66453	37016
02	64756	80457	08747	12836	03469	50678	03274	43423	66677	82556
03	92901	51878	56441	22908	29718	38447	06453	25311	07585	53771
04	03551	90070	09483	94050	45938	18135	36908	43321	11073	51503
05	98884	06209	06830	53656	14663	56346	71430	04909	19818	05707
06	27389	86882	53473	07541	53633	70863	03748	12822	19360	49088
07	59066	75974	53335	20483	43514	37481	58278	26967	49323	43951
08	91647	93783	84189	49022	98588	09495	49829	59068	38331	04538
09	83605	92419	39542	07772	71568	75673	35185	89739	44901	74291
10	24805	88530	70774	33439	46758	70472	70207	92675	91623	61273
11	35720	26556	95596	20094	73750	85788	34264	01703	46833	65248
12	14141	53410	38649	06343	57256	61342	72709	75318	90379	37562
13	27416	75670	92176	72535	93119	56077	06586	18244	92344	31374
14	82071	07429	81007	47749	40744	56974	23336	88821	53841	10536
15	21445	82793	24831	93241	14199	76268	70853	68002	03829	17443
16	72513	76400	52225	92348	82308	98481	29744	33165	33141	61629
17	71479	45027	78160	57411	13780	13632	52308	77762	85874	33697
18	83210	51466	09088	50395	26743	05306	21706	70001	99439	80767
19	68749	95148	94897	78636	96750	09024	94538	91143	96693	61886
20	05184	73763	47075	88158	05313	53439	14908	08830	60096	21551
21	13651	62548	96892	25240	47511	58483	87342	78518	07855	39269
22	60566	21220	00292	24069	25072	29519	52543	54091	21283	21296
23	50958	17895	58072	68990	60329	95955	71586	63417	35947	67807
24	37621	64547	46850	37981	38537	09037	64756	03324	04986	83666
25	09282	25844	79139	78435	38428	43561	69799	63314	12991	93516
26	23394	94206	93432	27836	94919	26846	02555	74410	94915	43199
27	03230	37470	93622	04345	15092	19510	18094	16613	78234	50001
28	95491	97976	38306	32192	82639	54624	72434	92606	23191	74693
29	78521	00104	18248	75583	90326	50785	54034	66251	35774	14692
30	96345	44579	85932	44053	75704	20840	86583	83944	52456	73766
31	57963	31151	32364	91691	47357	40338	23435	24065	08458	95366
32	07520	11294	23238	01748	41690	67328	54814	37777	10057	42332
33	38423	02309	70703	85736	46148	14258	29236	12152	05098	65825
34	02463	65533	21199	60555	33928	01817	07396	80215	30722	22102
35	15850	92261	17292	88190	61781	45808	92525	21283	88581	60098
36	71926	00819	59144	00224	30570	90194	18329	06009	26357	19238
37	64425	28105	16554	16016	00042	83229	10333	36168	65617	94834
38	79752	23924	49440	30432	81077	31543	95216	64865	13658	51081
39	35337	74538	44553	64672	90960	41849	93865	44608	93176	84851
40	05249	29329	19715	94082	14738	86667	43708	66354	93692	25527
41	56463	99350	38793	85774	19056	13939	46062	27647	66146	63210
42	96296	33121	54196	34108	75814	85986	71171	15102	28992	63165
43	98380	36269	60014	07201	62448	46355	42175	85350	46182	49126
44	52667	64350	16315	53969	80395	81114	54358	64578	47269	15747
45	78498	90830	25955	99236	43286	91064	99969	95144	64424	77377
46	49553	24241	08150	89535	08703	91041	77323	81079	45127	93656
47	32151	07075	83155	10252	73100	86618	23891	87418	45417	20268
48	11314	50363	26560	27799	49416	83534	19187	08059	76677	02110
49	12364	71210	87052	50241	90785	97889	81399	58130	64439	05614

Table XII includes digits 10,001 to 20,000, from *A Million Random Digits with 100,000 Normal Deviates*. The RAND Corporation, Free Press, Glencoe, Ill., 1955, reprinted by permission of The RAND Corporation and the publishers.

	4	
	01854	56789
	30012	75959
	66453	37016
	66677	82556
	07565	53771
	11073	51803
	19818	03707
	19360	49058
	49325	43951
	38831	04838
	44901	74291
	91623	61275
	46833	65248
	90379	37562
	92344	31374
	53841	10536
	03829	17443
	23141	61020
	88574	33697
	99439	80767
	96693	61886
	60096	21551
	07855	39269
	21282	21298
	35947	67507
	01956	83666
	12991	93516
	94915	48199
	78234	50001
	23191	74693
	35774	14692
	52456	73766
	05458	93366
	10057	42332
	05058	65825
	30722	22102
	85581	60098
	26857	19238
	65617	94834
	13658	51081
	93176	34851
	93692	25527
	06146	63210
	29992	63165
	46182	49126
	47209	15747
	64424	77377
	45127	93656
	45417	20268
	76677	02110
	64439	05614

...,100 Normal Deviates, ... of The RAND Corpora-

TABLE XII—*Continued*

Random Digits

C / R	0		2		3		3		4	
	01854	56789	01854	56789	01854	56789	01854	56789	01854	56789
50	59467	58309	87834	57213	37810	33689	01259	62486	56320	46265
51	73452	17619	56421	40725	23439	41701	93223	41652	45026	47503
52	27635	56293	91700	04391	67317	59604	73020	69353	61517	51207
53	86040	02596	01655	09918	45161	00222	54577	74821	47334	08582
54	52403	94255	26351	46527	68224	00183	85057	72310	34963	83462
55	49165	46581	61409	04844	94626	02963	41452	83879	44942	63915
56	94365	92560	12363	30246	02086	75036	85620	91058	67691	67762
57	34261	08769	91630	23313	18256	25550	37630	92745	57791	71328
58	37110	66538	39318	15626	44324	82827	08782	65060	55167	01305
59	83950	45424	72453	19444	68219	64733	94058	62006	89985	36936
60	61630	97966	76537	46467	30942	07479	67971	14558	22458	35148
61	01929	17165	12037	74558	16250	71750	55346	29693	94984	37782
62	41659	39095	23982	29899	71594	77979	54477	13764	17315	72593
63	32031	39005	75992	73445	01317	50525	87313	45191	30214	19769
64	90043	93478	58044	06949	31176	88370	50274	83957	45316	33551
65	79418	14322	91065	07841	36130	86602	10659	40859	00964	71577
66	25447	61079	96910	72906	07361	84338	34114	52096	66715	31091
67	86219	81115	49625	48799	89485	24855	13654	68433	70595	70102
68	71712	88559	92476	32903	65009	58417	87962	11757	16644	72964
69	29776	63075	13270	84758	49560	10317	28778	23006	31036	84906
70	81455	17340	75154	42801	27917	89792	62604	62234	13124	76471
71	51667	37589	87147	24743	45023	06325	79794	35589	13255	04925
72	99004	70322	60832	76636	56907	58534	72615	46288	36788	93196
73	68656	66492	35933	52293	47953	95495	95304	50009	83464	28608
74	38074	74083	09337	07965	65047	36871	59015	21769	30395	44855
75	01020	50650	59326	05712	48190	45332	27254	31287	66011	09376
76	86379	74508	33579	77114	92955	23085	92524	03054	25242	16322
77	48498	09938	44420	13484	52319	58575	02012	55591	52500	95795
78	41500	95362	54142	17482	32795	60564	12503	40954	46174	64130
79	63026	96712	79883	39225	52653	09349	36693	59822	22654	31661
80	83295	15489	16030	42480	15372	38781	71995	77435	91161	10192
81	07839	62735	99218	25624	02547	27445	69157	55749	32322	15504
82	73298	51108	45717	92926	75705	59787	96114	99902	37749	96305
83	12829	70474	00838	50385	91711	80370	56504	56857	80906	09018
84	76569	61072	48568	36491	22587	44363	39593	61546	90181	37348
85	41665	41239	62106	44203	06732	76111	79540	67999	22231	76869
86	58852	49983	01669	27464	79553	52855	25958	18087	35052	17529
87	13007	00657	76173	43357	77334	24140	53560	02906	89503	44651
88	55715	26203	65933	51087	98234	40625	45545	63563	89148	82581
89	04110	66683	99001	09796	47349	65003	66524	81970	71262	14479
90	31300	08681	58068	44115	40064	77879	23965	69019	73955	19453
91	26225	97543	37044	07494	85778	35345	61115	92498	49737	64389
92	07158	52763	25072	38478	57782	73291	62155	52036	04786	11585
93	71251	25572	79771	93328	66927	54069	58752	26624	50463	77361
94	29991	96526	02820	91639	12815	96358	49499	01507	40223	09171
95	83642	21057	02677	09367	38097	16100	19355	06120	15378	56559
96	69167	30235	06767	66323	78294	14916	19124	85044	16673	66102
97	86018	29406	75415	22038	47056	20906	25867	14751	92340	30434
98	44114	06026	79553	55091	95385	41212	37852	40444	54717	97038
99	53805	64150	70916	63127	63695	41288	38192	72437	72075	18570

TABLE XII—*Continued*

Random Digits

R \ C	5 01234	56789	6 01234	56789	7 01234	56789	8 01234	56789	9 01234	56789
00	52065	08353	30104	79937	66913	53200	84570	78079	29070	53359
01	37632	50274	35240	32060	74859	07359	55176	03930	35954	35151
02	82576	82805	94031	12779	00579	24109	25367	77801	09541	85739
03	60023	64971	90321	07521	95000	43397	71724	92581	05471	64337
04	98949	03606	78236	78985	29212	87369	34857	67757	35019	58872
05	96526	28749	36592	37871	72905	70198	57319	84116	47014	18285
06	33692	72111	60958	06548	17593	40003	50445	14186	76377	87867
07	50335	09513	44346	26439	55293	06449	44301	63740	40158	72703
08	88321	85062	57345	66231	15409	03451	95261	43561	15673	28956
09	90303	62469	82517	43035	36850	15502	64098	59022	31752	04370
10	50486	11885	23085	41712	80892	45492	16495	99721	36912	28267
11	27882	16269	64483	11273	02680	01616	46138	54606	14761	05134
12	45144	63213	49866	27441	86989	20584	54334	06740	08368	80051
13	81020	17882	74973	74531	94994	24927	64594	22607	20466	82948
14	66831	47427	76033	31197	59817	20064	61135	23556	29695	50179
15	74058	13293	09963	35278	13062	83094	23373	90257	23477	48865
16	30348	70174	11468	25994	25343	22317	01537	30682	00001	67814
17	59587	23362	13746	82244	42003	24671	79458	93730	45483	60234
18	67098	09899	25775	00332	36636	57594	19958	85564	58977	12247
19	60774	86371	69442	20385	14486	91330	50332	46023	75768	59877
20	60081	92936	72302	75064	85727	52987	05750	19384	33684	78350
21	80458	69902	34870	88634	49762	40801	86291	18194	90366	82639
22	53644	96326	63728	48563	26027	52602	62406	76294	41848	63010
23	69841	29451	36170	21529	16525	64326	22086	24469	57407	96033
24	37771	31002	18311	93285	31948	14331	58335	15977	80336	81667
25	27286	24361	61638	57580	98270	46180	76990	53031	94366	02727
26	49944	19278	05756	51875	53445	33342	01965	07937	10054	97712
27	87693	58124	46064	39133	77385	00605	65359	70113	90563	86637
28	94282	12025	31926	24541	23854	58407	32131	92845	20714	27898
29	26917	50326	35145	50850	72119	95004	29441	42301	62460	75252
30	94267	38422	73047	24200	83349	72049	91723	97802	98496	12734
31	73432	10371	57213	53300	50847	46229	07099	72961	13767	65654
32	31102	82119	96946	65919	81053	03819	57858	57908	16849	77111
33	41429	92261	43263	01172	55926	78335	27697	48420	53865	41207
34	21406	08553	10785	36233	12237	07866	13706	92551	11021	63813
35	71512	65206	37768	94325	14721	20990	54235	71986	03345	56239
36	52028	01419	07215	55067	11669	21738	66605	60621	69827	08537
37	18635	60932	28151	98585	76431	25566	03055	23639	30849	63956
38	73287	26201	36174	14106	84102	57011	16141	64174	03591	90024
39	73332	31254	17288	80409	25061	51612	47951	16570	43330	79213
40	11354	55585	19646	99246	37564	32660	20632	21124	60307	60315
41	31312	87741	85108	21615	24365	27684	16124	33885	14966	35303
42	60921	15795	04020	67672	86816	63027	84470	45605	44887	26222
43	79388	58082	22486	98844	45353	60666	58256	31140	93507	69581
44	06256	88526	18685	00965	78247	00264	65957	98261	72706	36396
45	46065	85700	32121	99375	73627	78812	89638	86602	96758	65099
46	52777	46792	13790	55240	52002	10313	91933	71231	10053	78416
47	54563	90004	42215	30094	45958	48437	49501	50483	13422	69108
48	59952	27896	40450	79327	31962	46456	30260	51479	61882	48181
49	50691	64709	32902	10676	12083	35771	79656	50067	76783	03937

TABLE XII—*Continued*

Random Digits

R \ C	6 01234	56789	6 01234	56789	7 01234	56789	8 01234	56789	9 01234	56789
50	99859	10362	57411	40086	35045	02838	29235	64230	84418	34988
51	77644	39902	77327	74120	53447	35467	95803	38040	20353	55402
52	25793	14213	87082	42837	95040	97198	61608	97723	79390	35290
53	34653	81419	87133	70447	57127	97140	28299	56703	12868	01145
54	12147	58158	92124	60934	18424	97510	07056	54488	20719	53743
55	91037	44797	52110	08512	15991	20129	31441	51449	14661	71126
56	23180	68124	18807	70997	21913	19594	70355	73637	68266	60775
57	43164	52643	96363	77989	79332	39890	65379	20405	52935	42816
58	92740	95319	04538	60600	28982	15328	80475	34600	02293	19646
59	46524	96827	33159	42081	08816	74931	20674	08697	66169	46460
60	46328	39923	60625	28386	22919	19415	75766	43668	31626	70301
61	67053	03949	70082	02303	48642	38429	94053	38770	65137	65441
62	52928	70244	91954	17401	92093	98342	21451	84988	80457	33807
63	73797	49494	41878	76635	83227	76818	11946	13451	87591	78381
64	21407	90038	72638	69092	51599	86413	32019	64856	74730	41531
65	11064	01790	58817	86400	66213	92599	70005	78324	54326	43659
66	34206	63132	38837	40210	96346	16967	81619	96503	14581	89405
67	32205	49308	98425	02451	35423	56072	36810	30332	85998	49358
68	92748	84147	79335	94867	41224	01794	35066	82220	66684	20096
69	02754	41731	37068	32753	91039	13407	05607	69384	53329	95909
70	44968	11397	92973	50014	92997	80968	93761	57598	74703	07768
71	37978	73573	33475	09720	97852	98449	48722	84977	11271	11728
72	68318	22312	78792	87508	58466	72976	47099	84126	38595	85124
73	64405	90020	07492	52413	95111	34455	86311	68592	01074	60274
74	28136	19328	38161	57475	13771	03562	84207	94121	15901	52768
75	33901	82087	86091	59969	00398	56870	55756	78841	98450	54165
76	55108	50363	70519	14567	36780	55450	19606	83749	67362	64765
77	38543	16555	86541	73742	08766	39252	75678	75379	78760	37279
78	15280	13558	95916	89759	76656	78467	67147	63110	94008	05037
79	35263	53710	16667	79008	11231	29397	67136	18601	64502	90228
80	89109	72849	22711	63547	34542	26686	81678	87765	77654	23664
81	96352	14106	32938	28053	18633	80286	65507	46197	52722	75476
82	77816	47204	34576	45963	79262	90181	84041	03745	90041	30780
83	27226	92547	85572	15308	80685	03761	82638	13464	23083	81015
84	54214	64175	43701	80845	15569	50697	52679	87696	08285	97444
85	47599	94472	64150	87753	68852	60726	26213	17320	64553	81285
86	98126	12158	52005	64533	00492	35817	55571	91300	97812	37507
87	04209	53515	64942	21223	16662	43265	68219	03529	43636	68417
88	53640	95326	93381	37113	80751	76469	96677	43054	22937	31954
89	13266	34140	27253	02734	99070	60077	57983	93211	92795	83793
90	57477	03941	39007	14619	38320	93449	31336	25279	97030	26245
91	47394	39475	90621	23520	20344	94550	91604	14033	41868	14816
92	04075	66044	87803	07815	99552	78066	03942	08175	22345	19983
93	76783	99044	20851	84981	59052	77178	72109	76475	21619	73017
94	06912	56033	50612	55289	04671	84419	94072	94446	80603	32158
95	93415	23404	43947	43728	74284	67177	57105	31059	10642	13803
96	60602	46961	06567	19359	84676	63918	40650	12923	15974	70732
97	20225	92525	71179	04850	91208	60430	05239	81458	24059	68852
98	60171	29603	42535	56363	93005	25237	45317	60718	82001	41679
99	20679	56304	70043	87508	21386	50049	78353	43898	77379	55309

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Co/y1-14
Co/y2-
Sre.Sci.

Handman, Herbert Ira, 1932-
The rights of convicts / by Herbert Ira Handman, assisted by William J. Fuller III. Dobbs Ferry, N.Y. : Oceana Publications, 1975.
viii, 120 p. : ill. ; 19 cm. (Legal almanac series ; 73)
75-400

1. Prisoners--Legal status, laws, etc.--United States. I. Title

11 FEB 76 1366240 VUEAnl D 77-158 2

Title IIc
SHELFLIST SURVEY

Institution Holding Code
(OCLC) TEST

DATA ELEMENTS	Present (1)	Absent (2)	Found on Card Face (1)	Found on Verso (2)	Found on Continuation Card (3)	Info. printed (inc. typing and computer produced) (1)	Info. xeroxed (2)	Info. in other than black ink (3)	Hand written information (4)	Found on main entry card only (1)	Found elsewhere (2)
Unit card information (author, title, imprint, collation, etc.)	X		X			X					
LC classification #		X									
Dewey classif. #	X		X			X					
Other classif. #		X									
Notes (incl. series notes)	X		X			X					
Tracings	X		X			X					
Local holdings information	X		X						X		
OCLC #	X		X			X					
LC Card #	X		X			X					

GENERAL INFORMATION:
Print X (1) Nonprint __ (2)
Serial __ (1) Non-Serial X (2)
Roman alphabet X (1) Non-Roman __ (2)
L.C. cataloging X (1)*
NUC cataloging __ (2)*
OCLC cataloging X (3)*
* You may check more than one box.

INSTRUCTION: Complete a box by putting an 'X' where applicable. Leave ALL other boxes EMPTY

COLLECTION EVALUATION FORM

Library _____

Collection (Subject) _____

Criteria	1	2	3	4	5	% Unique
Uniqueness*						
Quality (National or State Significance)						
Rate of Obsolescence						
Format						
Strength of Academic Program						
Usefulness in Interloan or Scholarly Community**						

*Use shelflist sample technique as guideline and to fill in right column of line 1.

**Use weighted inverted NYSILL fill rate table as guideline.

State University of New York
State University Plaza
Albany, New York 12246

Office of the Vice Chancellor
for Educational Services

Office of Library Services

September 27, 1978

MEMORANDUM

TO: Title IIc Advisory Group

FROM: G. T. Evans

SUBJECT: Proposed Detailed Shelflist Survey

1. Introduction. The purpose of this proposal is to develop a procedure which will provide information about specific sections of the collections which are proposed for conversion. It relies on the procedures and results from the general shelflist survey performed in August:

It seeks to:- a) determine if the collection characteristics are significantly different from the total shelflist survey.
b) If so, in what ways.

It also tries to avoid additional work.

Stage I.

a) Refer to distributed computer shelflist report, particularly
1. pages 29-34. Combinations of data present.
2. page 36 Print - Serial - Roman
3. Page 38 LC - NUC - OCLC.

b) Determine size of segment by counting cards.

c) Create sample as follows

If request is			
	100 cards	-	every 10th
	500 cards	-	every 20th
	1000 cards	-	every 40th
	2500 cards	-	every 50th
	5000 cards	-	every 100th

TEST A d) Assign 'Key Value' based on table of data combinations.

e) Refer to Table 29-34, Examine to see if Key Values fall into Ranges in following tables.

Title IIc Advisory Group

Set A	Value	% of cards overall sample
	115	12.2
	371	18.7
	375	17.0
		47.9 of all cards
Set B	83	5.9
	99	4.9
	307	3.9
	311	3.3
	339	4.7
	355	5.8
	359	4.3
		32.8 of all cards

Set C = all other Total 80.7% of all general sample

Report number of cards from sample which fall in Set A or B.

TEST B f) Refer to Page 36.
See if majority of cards fall in 121 range.

Set A = 88.7% of all cases

Set B = all other

TEST C g) Refer to page 38

Set A Report number of cards that fall into 0 or 100 or 103 group.

Set B = all other.

h) Report form

Sample size = _____ Class # Range _____

	Set A		Set B		Set C	
	#	%	#	%	#	%
TEST A						
TEST B						
TEST C						

If there is a significant increase in the number of entries in Set B or Set C, it may be necessary to follow up with detailed analysis procedures established in the general survey.

GTE:mak

TITLE IIC SHELFLIST SURVEY

COMBINATIONS OF DATA THAT ARE AVAILABLE

KEY VALUE	1 UNIT CARD INFO	2 LC CLASS #	4 DEWEY CLASS #	8 OTHER CLASS #	16 NOTES	32 TRAC-INGS	64 LOCAL HOLD-INGS	128 OCLC #	256 LC CARD #
2		X							
3	X	X							
9	X			X					
35	X	X				X			
41	X			X		X			
51	X	X			X	X			
57	X			X	X	X			
59	X	X		X	X	X			
65	X						X		
66		X					X		
67	X	X					X		
83	X	X			X		X		
89	X			X	X		X		
99	X	X				X	X		
105	X			X		X	X		
113	X				X	X	X		
115	X	X			X	X	X		
119	X	X	X		X	X	X		
121	X			X	X	X	X		
163	X	X				X		X	
179	X	X			X	X		X	
185	X			X	X	X		X	
233	X			X		X	X	X	
241	X				X	X	X	X	
243	X	X			X	X	X	X	

TITLE IIC SHELFLIST SURVEY

COMBINATIONS OF DATA THAT ARE AVAILABLE

KEY VALUE	1 UNIT CARD INFO	2 LC CLASS #	4 DEWEY CLASS #	8 OTHER CLASS #	16 NOTES	32 TRAC-INGS	64 LOCAL HOLD-INGS	128 OCLC #	256 LC CARD #
249	X			X	X	X	X	X	
259	X	X							X
267	X	X		X					X
275	X	X			X				X
279	X	X	X		X				X
291	X	X				X			X
295	X	X	X			X			X
307	X	X			X	X			X
311	X	X	X		X	X			X
315	X	X		X	X	X			X
319	X	X	X	X	X	X			X
323	X	X					X		X
339	X	X			X		X		X
343	X	X	X		X	X	X		X
355	X	X				X	X		X
359	X	X	X			X	X		X
361	X			X		X	X		X
371	X	X			X	X	X		X
375	X	X	X		X	X	X		X
379	X	X		X	X	X	X		X
419	X	X				X		X	X
423	X	X	X			X		X	X
435								X	X
441	X			X	X	X	X		X
467	X	X			X		X	X	X

TITLE IIC SHELFLIST SURVEY

COMBINATIONS OF DATA THAT ARE AVAILABLE

KEY VALUE	1 UNIT CARD INFO	2 LC CLASS #	4 DEWEY CLASS #	8 OTHER CLASS #	16 NOTES	32 TRAC-INGS	64 LOCAL HOLD-INGS	128 OCLC #	256 LC CARD #
483	X	X				X	X	X	X
497	X				X	X	X	X	X
499	X	X			X	X	X	X	X
503	X	X	X		X	X	X	X	X

Title IIc

SHELFLIST SURVEY

Institution Holding Code

(OCLC) _____

DATA ELEMENTS	Present (1)	Absent (2)	Found on Card Face (1)	Found on Verso (2)	Found on Continuation Card (3)	Info. printed (inc. typing and computer produced) (1)	Info. xeroxed (2)	Info. in other than black ink (3)	Hand written information (4)	Found on main entry card only (1)	Found elsewhere (2)
Unit card information (author, title, imprint, collation, etc.)											
LC classification #											
Dewey classif. #											
Other classif. #											
Notes (incl. series notes)											
Tracings											
Local holdings information											
OCLC #											
LC Card #											

GENERAL INFORMATION:

Print __(1) Nonprint __(2)

Serial __(1) Non-Serial __(2)

Roman alphabet __(1) Non-Roman __(2)

L.C. cataloging __(1)* NUC cataloging __(2)* OCLC cataloging __(3)*

* You may check more than one box.

INSTRUCTION: Complete a box by putting an 'X' where applicable. Leave ALL other boxes EMPTY.

SHELFLIST SURVEY

Institution Holding Code

(OCLC) TEST

DATA ELEMENTS	Present (1)	Absent (2)	Found on Card Face (1)	Found on Verso (2)	Found on Continuation Card (3)	Info. printed (inc. typing and computer produced) (1)	Info. xeroxed (2)	Info. in other than black ink (3)	Hand written information (4)	Found on main entry card only (1)	Found elsewhere (2)
Unit card information (author, title, imprint, collation, etc.)	X		X			X					
LC classification #		X									
Dewey classif. #	X		X			X					
Other classif. #		X									
Notes (incl. series notes)	X		X			X					
Tracings	X		X			X					
Local holdings information	X		X						X		
OCLC #	X		X			X					
LC Card #	X		X			X					

GENERAL INFORMATION:

Print	X (1)	Serial	(1)	Roman alphabet	X (1)
Nonprint	(2)	Non-Serial	X (2)	Non-Roman	(2)

L.C. cataloging X (1)
NUC cataloging (2)*
OCLC cataloging X (3)*

* You may check more than one box.

INSTRUCTION: Complete a box by putting an 'X' where applicable.

INVERTED NYSILL FILL RATE TABLE

SUBJECTS	% OF ILL REQUESTS NOT FILLED	DEWEY CLASS NUMBERS
Paleontology; Anthropology and Biology; Zoological Sciences	68.47	560-579, 590-599
ASIA	66.01	950-959
Botanical Sciences; Agriculture	65.4	580-589, 630-639
Pure Science	64.22	500-509
German & Germanic Literature and Languages	64.2	830-839, 430-439
AFRICA	63.91	960-969
Ancient History	62.75	930-939
French, Provincal and Catalan, Italian, Rumanian, Spanish Portuguese and Galician Literature and Language	62.66	840-869, 440-469
Earth Sciences	60.80	550-559
Chemistry and Allied Sciences; Chemical Technology; Metallurgy	59.61	540-549, 660-669
General Works	58.4	000-009
Astronomy; Physics	58.23	520-539
Philosophy	56.15	100-129, 140-149, 160-199
EUROPE	55.78	940-949
Latin, other Italic, Greek, Byzantine, Hellenic Literature and Language	54.76	870-889, 470-489
Technology; technical Education & Research; Patents; Engineering; Manufactures; Building Construction	51.96	600-609,620-629,670-699
Religion	51.96	200-299
Medical Sciences	51.59	610-619
Mathematics; Statistics	51.59	510-519, 310-319

SUBJECTS	% OF ILL REQUESTS NOT FILLED	DEWEY CLASS NUMBERS
History; Geography; Political Science	50.62	900-919, 320-329
Psychology	50.28	130-139, 150-159
Economics; Public Administration; Public Service and Utilities	48.81	330-339, 350-359, 380-389
Law	47.38	340-349
Other Literatures (Other Indo-European; Semitic & Hamito-Semitic; Hamitic, Finno-Urgric; Far Eastern; African; North American Indian; South American Indian; Austronesian) Other Languages (Africa; China; India/Pakistan; Japan; Middle East; Slavic; Southeastern Asia)	46.77	890-899, 490-499
Literature; American and English Literature; Language; Comparative English & Anglo-Saxon Language	46.68	800-829, 400-429
North America (Canada; Mexico; Caribbean; U.S.)	46.68	970-979
Social Sciences; Social Welfare; Customs and Folklore	46.34	300-309, 360-369, 390-399
Photography	44.38	770-779
Biography of Individuals Not Clearly Belonging to any Specific Subject	43.18	920-929
Music	42.56	780-789
Education	37.38	370-379
Recreation	37.13	790-799
Home Economics	36.53	640-649
South America	32.21	980-989
Pacific Oceans Islands; Atlantic Ocean Islands; Arctic Regions; Antarctic Regions	24.0	990-999

NYSILL

SUBJECTS RANKED BY PERCENTAGE OF TOTAL REFERRED

SUBJECTS	% OF REFERRALS	DEWEY CLASS NUMBER
Medical Sciences	14.96	610-619
Technology, technical education & research, patents, engineering, manufacturers, building construction	9.42	600-609, 620-629 670-699
Economics, public administration, public service and utilities	6.37	330-309, 360-369 390-399
Social Sciences, Social Welfare, Customs and Folklore	6.11	300-309-360-369, 390-399
Paleontology, Anthropology and Biology, Zoological Sciences	5.66	560-579, 590-599
Photography	4.72	770-779
Chemistry and Allied Sciences, Chemical Technology, Metallurgy	4.70	540-549, 660-669
Pure Science	4.60	500-509
Literature, American and English Literature, Language, Comparative English and Anglo-Saxon Language	4.51	800-829, 400-429
General Works	4.32	000-009
History, Geogrpahy, Political Science	4.25	900-919, 630-639
Botanical Sciences, Agriculture	2.92	580-589, 630-639
Religion	2.84	200-299
Psychology	2.78	130-139, 150-159
Europe	2.32	940-949
Education	2.21	370-379
North America (Canada, Mexico, Caribbean, U.S.)	1.90	970-979
Astronomy, physics	1.67	520-539

SUBJECTS	% OF REFERRALS	DEWEY CLASS NUMBER
Recreation	1.46	790-799
French, Provincial and Catalan, Italian, Rumanian, Spanish, Portuguese and Galician Literature and Language	1.44	840-869, 440-469
Other Literatures(Other Indo European, Semitic & Hamito-Semitic, Hamitic, Finno-Urgric, Far Eastern, African, North American Indian, South American Indian, Austronesian Other Languages (Africa, China, India, Pakistan, Japan, Middle East, Slavic, Southeastern Asia.	1.20	890-899, 490-499
Music	1.19	780-789
Law	1.18	340-349
Mathematics; statistics	1.13	510-519, 310-319
Biography of Individuals not clearly belonging to any specific subject	1.10	920-929
Earth Sciences	1.00	550-559
Philosophy	.98	100-129, 140-149 160-199
Asia	.78	950-959
German & Germanic Literature and Languages	.54	830-839, 430-439
Africa	.52	960-969
Latin, Other Italic, Greek, Byzantine, Hellenic Literature and Language	.26	870-889, 470-489
South America	.18	980-989
Ancient History	.16	930-939
Pacific Ocean Islands;		

APPENDIX III

SUNY ALBANY

1. Atmospheric Science
2. Criminal Justice
3. History of North and South America
4. International Law/International Relations
5. Oratory
6. Radio and Television Communications

SUNY BINGHAMTON

1.	Aesthetics	(B)
2.	Ancient Orient, Near East	(DS 41-329)
3.	Anthropogeography	(GF)
4.	Circuses, Carnivals, etc.	(GV 1800-1860)
5.	Coptic	(PJ 2001-2199)
6.	Dramatic Representation, The Theatre	(PN 2600-3300)
7.	Economic History	(HD)
8.	Egyptology	(PJ 1001-1989)
9.	Family, Marriage, Woman, Sexual Life	(HQ)
10.	Fine Arts	(N-NX)
11.	French Literature	(PQ 1-3999)
12.	Geology	(QE)
13.	Geomorphology	(GB 400-649)
14.	Human Anatomy	(QM)
15.	Islam	(BP)
16.	Judaism	(BM)
17.	Light, Optics, Radiation	(QC 350-496)
18.	Literature: Theory, Philosophy Esthetics	(PN 45-75
19.	Nervous System and the Senses	(PQ 351-499)
20.	North African History	(DT 39-349)
21.	Philosophy	(B)
22.	Physiology (General)	(QP 1-348)
23.	Semitic Philology	(PJ 3001-9288)

SUNY BUFFALO

1.	American Literature	(PF1-1000)
2.	Analytical Chemistry	
3.	Classics	(BX1-799, PA)
4.	Dentistry	(RK,WU)
5.	Geology	
6.	History	(DA, DC, DD, E)
7.	International Law	
8.	Management	(HB-HJ)
9.	Mathematics	
10.	Nursing	(RT, WY)
11.	Philosophy, Aesthetics, Ethics	(B, BH, BJ)
12.	Psychology	(BF1-1000)
13.	Public Health (Economics & Delivery of Health Care)	(RA, WA)
14.	Sociology	(HM)
15.	U.S. & Foreign Law	

NEW YORK UNIVERSITY

1. Art
2. Business and Commerce
3. English Literature

STONY BROOK

1.	American Literature	(PS)
2.	Biology	(QH-QR, S except 560-575)
3.	Economic History	(HD)
4.	English Literature	(PR)
5.	Family, marriage, women, sexual life	(HQ)
6.	French Literature	(PQ 1-2686)
7.	German Lit. 1700 -	(PT 1799-2688)
8.	History - France	(DC)
9.	History - Germany	(DD)
10.	History - Mexico, Central America, West Indies, Lat. Am.	(F 1201 - 3799)
11.	History - U.S. - State and Local History	(F 1 - 975)
12.	Lit. History	(PN 441-1009)
13.	Math/Physics	(QA and QC)
14.	Span. & Lat. Am. Lit.	(PQ 6000-8549)

THE UNIVERSITY OF THE STATE OF NEW YORK
THE STATE EDUCATION DEPARTMENT
CULTURAL EDUCATION CENTER
EMPIRE STATE PLAZA
ALBANY, NY 12230

APPENDIX IV

THE NEW YORK STATE LIBRARY

COLLECTION MANAGEMENT AND
NETWORK SERVICES
(518) 473-1987 or
473-7514

Dear

After careful analysis of institution preference and cost/time factors, it has been decided that libraries participating in the Research Library Resources Access Project (HEA II C) should forward xerox copies of their catalog records to the New York State Library.

We request that you xerox your designated records according to the following guidelines:

1. Use 8 1/2 x 14 inch paper stock.
2. Place 4 cards vertically along the left side of the sheet.
3. Leave area on the right side of the paper blank for comments.
4. Stamp your institution's name & packet number in the upper left hand corner of each sheet.
5. Consecutively number each sheet within a packet in the upper right hand corner.
6. If information appears on verso of card, xerox it on a separate sheet. Give this sheet the same number as the sheet on which the main record appears. Do not add any other records on this sheet. Indicate which record on main sheet it belongs with--e.g. 1st, 2nd, 3rd, or 4th.
7. Submit 500 sheets on a daily basis to the New York State Library.
8. Each group of 500 sheets constitutes a packet. Number packets consecutively beginning with number one for the duration of the project.
9. Fill out the form provided you and enclose it with each packet of sheets.
10. Mail packet in a no. 7 Jiffy shipping bag to: HEA II C Project, New York State Library, Cultural Education Center, Empire State Plaza, Albany, New York 12230, c/o Sandy Wolff

A sample xerox sheet and forms have been attached.

Please address any questions concerning these xeroxing procedures to either Bob Vines or Sandy Wolff.

Cordially,

Bob Vines

Bob Vines
Senior Librarian

759.1 Rockwell, Norman, 1894-
fR58r1a2 The Norman Rockwell album. [1st ed.] Garden City, N. Y., Doubleday, 1961.
191 p. illus. (part col.) ports., map. 36 cm.

UC ND237.R68A5 (759.13 61-12373
Library of Congress [15]

759.1 Rockwell, Norman, 1894-
fR58-nb Norman Rockwell, artist and illustrator [by] Thomas S. Buechner. New York, H. N. Abrams [1970]
328 p. illus. (part col.) 44 cm.
ISBN 0-8109-0452-7.

1. Buechner, Thomas S. II. Title.

UC (

Rockwell, Norman, 1894-
Norman Rockwell: a sixty year retrospective. With text by Thomas S. Buechner. New York, Abrams [1972]
157 p. illus. (part col.) 30 cm.
"Catalogue of an exhibition organized by Bernard Danenberg Galleries, New York," and held from Feb. 11, 1972, to Apr. 15, 1973, at the Fort Lauderdale Museum of the Arts [and others]

1. Rockwell, Norman, 1894-
I. Bernard Danenberg Galleries. II. Fort Lauderdale Museum of the Arts.
ND237.R68B4 759.13 70-38513
ISBN 0-8109-2049-2 MARC
Library of Congress (72

759.2 Rockwell,Paul Ayres,1889-
R834 Three centuries of the Rockwell family in America,1630-1930,prepared for Françoise Jeanne Anne Loula Rockwell and Kiffin Yates Rockwell II,by their father, Paul Ayres Rockwell. Paris,Priv.print. 1930.
1p.l.,[4],-83p. ports.double geneal.tab. 19cm.

In ms.on front fly-leaf:50 copies printed,of which this is no.32.
Bibliography:p.5-8.

46

STATION HALL

PACKET NO. 1

SHEET NO. 1

ODR
8cds.

4th card

Rockwell family
Rockwell family(William Rockwell,1591-1640)
Genealogy. Rockwell family (H)
Rockwell family. Bibliography, p.5-8

448730

APPENDIX V

H&A II C PROJECT

DUTIES DESCRIPTION

SENIOR LIBRARIAN

The HEA. II C Project is a federally funded retrospective conversion project administered by the State Library. The Senior Librarian works with the Project Co-directors to plan, develop, and implement procedures for the input of monographic records of six New York State Research Libraries into the OCLC, Inc. national data base. The duties as well as requirements for this position are listed below:

POSITION DESCRIPTION

1. Supervise, edit, and authorize cataloging data input to the system.

2. Develop, maintain, supervise all operating procedures.

3. Coordinate the activities of the Assistant Librarian in the maintenance of the second shift.

4. Review the work of the Assistant Librarian, the Library Technical Assistants, and the Data Entry Machine Operators.

5. Resolves difficult cataloging and/or holdings problems.

6. Develops statistical and evaluation procedures and forms.

7. Provides statistics and progress reports in a timely manner.

8. Develops training manuals and devises procedures to keep information current.

9. Trains supervisory staff and with their assistance trains clerical staff in the operations of the CRT terminals, MARC tagging, and record format.

10. Interviews potential candidates and makes appointments according to Civil Service Law.

11. Establishes standards of performance and evaluates staff. Identifies the cause(s) of poor performance and gives specialized training when necessary. Recommends dismissal of subordinates with poor work performance.

JOB REQUIREMENTS

1. MLS from an accredited library school.

2. Knowledge of AACR-2 (Anglo American Cataloging Rules, Version 2), of Library of Congress catalog practice for monographs, and MARC format.

3. Ability to resolve catalog and tagging probems.

4. Previous supervisory experience and the ability to work effectively with other staff.

5. Good judgment, the ability to make sound decisions, the ability to communicate effectively.

6. Minimum of one year of experience as G-14.

HEA II C PROJECT

DUTIES DESCRIPTION

ASSISTANT LIBRARIAN

The H.E.A. II C Project is a federally funded retrospective conversion project administered by the State Library. The Assistant Librarian works with the Senior Librarian to plan, develop, and implement procedures for the input of monographic records of six New York State Research Libraries into the OCLC, Inc. national data base. The duties as well as requirements for this position are listed below:

POSITION DESCRIPTION:

1. Supervise HEA II C night shift consisting of three library technical assistants and four data entry machine operators.

2. Maintain the unit's production standards by monitoring staff performance, making constructive suggestions for improvement and providing staff with feedback.

3. Maintain quality control by reviewing and editing work product (both workforms prepared by library technical assistants and original input entered by operators.

4. Assist in training new staff and keeping staff abreast of changes in procedures implemented by OCLC, Inc.

5. Resolve cataloging or MARC tagging problems encountered by library technical assistants.

6. Recommend implementation of new or modified procedures to project supervisor which would contribute to greater productivity.

JOB REQUIREMENTS

1. MLS from accredited Library School.

2. Familiarity with Marc format for monographs; knowledge of AACR-2; as well as OCLC, Inc. standards for inputting retrospective records on their data base.

3. Experience with OCLC, Inc. data base preferable.

4. Previous experience on conversion project(s) desireable.

5. Candidate must be willing to work night shift (2 - 10 PM)

Library Technical Assistant II G-9 $8,454

Position Description

1. Under direction of project supervisor or Marc data editor, supervise, edit, and authorize cataloging input to system.
2. Consult with Marc data editor or project supervisor on more complex catalog and tagging problems.
3. Site tag and input on CRT more complex or foreign language records. According to nationally accepted Marc format.
4. Responsible for scheduling staff, assigning work, and meeting production quotas when clerical supervisor is absent.
5. Assist in training staff.
6. Help maintain statistics.
7. Control over receiving/shipping records from/to libraries,
8. Prepare batches--e.g., number and pre-edit OCLC records.
9. Informs OCLC when having terminal problems & notifies higher staff.
10. Perform regular quality control check of inputted data utilizing both computer editing & source documents.

Job Requirements

1. Knowledge of catalog cards and library terminology.
2. Thorough understanding of Marc format or satisfactory completion of two week training course.
3. Ability to use CRT computer terminals or satisfactory completion of two week training course.
4. Ability to type a minimum of 35 words per minute with a high degree of accuracy.
5. Two years of college, with previous library experience or some library science courses.
6. Good judgement.
7. Note: Candidates must be able to rotate between two shifts, 7-3 and 3-11 Monday thru Friday.

SENIOR DATA ENTRY MACHINE OPERATOR G-7

POSITION DESCRIPTION

1. Assist Senior and Assistant Librarians in developing, maintaining, and supervising all operating procedures.

2. Responsible for staff scheduling.

3. Trains clerical staff in the operations of the CRT terminals.

4. Assist Senior and Assistant Librarians in establishing standards of performance and evaluates staff. Identifies the cause(s) of poor performance and gives specialized training when necessary.

5. Assist Senior and Assistant Librarians in developing statistical and evaluation procedures and forms.

6. Maintains statistical records.

7. Works with Senior and Assistant Librarians to assure that the quality of the unit's work meets required standards.

8. Recommends new and modified procedures to higher staff.

9. Inputs records onto OCLC, Inc. when short-staffed.

10. Informs OCLC, Inc. when having terminal problems and notifies higher staff.

JOB REQUIREMENTS

1. Familiarity with catalog cards and library terminology.

2. Ability to establish a supervisory relationship with data entry operator staff.

3. Ability to use CRT terminal with high degree of accuracy or satisfactory completion of a two week training course.

4. Thorough understanding of MARC format or satisfactory completion of a two week training course.

5. Good judgement and responsibility in carrying out prescribed procedures.

6. Required to work nights and Saturday.

MARC DATA INPUT OPERATOR G-4 $6456

POSITION DESCRIPTION

1. Search bibliographic records in the OCLC data base using LC card number, ISBN, author/title, title, or author search keys.

2. Match records against existing records in the OCLC data base.

3. Sight tag records (format according to MARC II description for machine readable records) i.e. input records of varying length and quality.

4. Use cathode ray tube terminal to search, edit, or add records to the OCLC data base.

JOB REQUIREMENTS

1. Skilled typist. Ability to type 60 wpm with 99.5 per cent accuracy rate on a character per character basis.

2. Familiarity with catalog cards and library technology.

3. Thorough understanding of MARC format or satisfactory completion of a two week training course on MARC format.

4. Ability to type on cathode ray terminal or satisfactory completion of a two week training course.

5. Ability to concentrate on repetitive and detailed tasks.

6. Ability to follow written and oral instructions.

7. Good judgement and responsibility in carrying out prescribed procedures.

8. Required to work nights and Saturday.

***The primary responsibility of each shift is different. The day shift will be responsible for SEARCHING AND MATCHING RECORDS, while the night shift will be primarily responsible for SEARCHING AND INPUTTING WORKFORMS (NO MATCH RECORDS)

OBTAIN RECORDS

from 1 of 2 places depending on the operation you are performing.

MATCHING--material located on 'incoming table'. Record sheet numbers you are taking on long-in form supplied by packet currently being converted. (Use discretion as to amount of sheets sign out)

ORIGINAL INPUT--take workforms from workform baskets located on shelves behind terminals.

BY-PASS RECORDS

falling into the following categories:

1. Serials
2. Maps
3. A-V media
4. Manuscripts
5. Scores
6. Records missing 260 &/or 300 field(s)
7. Institution missing all copies of a title.
8. Dashed on (for LC cat) when no local call # provided on the record.

SEARCH RECORDS

against the OCLC data base using search keys in the order listed below:

1. Library of Congress Card Number
2. International Standard Book Number
3. Author/title
4. Title
5. Author

REFER TO OCLC MANUAL FOR DETAILS ON SEARCHING

MATCH RECORDS

at hand against records retrieved on the OCLC data base. The following elements MUST MATCH EXACTLY:

1. Fixed field 'Rec' (record type) must be set at 'a' & 'Bib level' at 'm'. REJECT record(s) with any other values.

2. Library of Congress Card Number (010 - if present)
   a. Ignore 010 if information has been changed on your record.

   b. Sometimes the 010 on your record may not match the 010 of the record on file. Accept 010 of LC cat. record.

3. Main entry (1XX, all subfield codes)
   (Sometimes you will find the death date omitted from the OCLC record; please add it)

4. Title (245, subfield 'a' only)
   (Sometimes it will be necessary to look at subfield 'b' as well)

5. Edition statement (250, all subfield codes)

6. Publisher (260, subfield 'b' code)
   a. Accept abbreviated version of publisher information.
   b. DO NOT MATCH NOTHING TO SOMETHING.

7. Imprint date (260, subfield 'c' only)
   (DO NOT MATCH IF OCLC RECORD CONTAINS DIFFERENT, ADDITIONAL, OR EXCLUDE DATES FOUND ON YOUR RECORD.

8. Pagination (300, subfield 'a' only)
   a. Ignore preliminary paging (in roman numerals)
   b. You may accept slight variations in paging (i.e. 5/10 pp)

YOU MAY PROCESS ONLY EXACT MATCHING RECORDS. PLACE MATCH ? & OCLC # to right of record if you think a match exists, but 1 or more of the above elements DIFFER, however slightly. Put sheets in match ? basket to be reviewed by a librarian.

BE ESPECIALLY MATCHFUL OF DIFFERENCES IN THE 1XX; 260; & 300 fields.

GUIDELINES FOR HANDLING QUESTIONABLE MATCHES (THIS STEP SHOULD BE DONE BY G-9 & LIBRARIANS).

A. Different main entry (and/or) slight variations in title. ALL OTHER ELEMENTS of the above match exactly.

1. Always accept the LC version.

a. If record you have on hand is the LC version, then change the entry of the of the record on the OCLC file to conform to LC.

b. If record on the OCLC data file is LC, accept it; do not change entry to conform to record on hand.

2. Accept revised LC card information over earlier LC versions.

3. Accept cataloging information of record on hand when your record and the OCLC record both contain original cataloging.

B. Variations in date. ALL OTHER ELEMENTS OF MATCH EXACT.

1. Return record with questionable date to institution for investigation if you feel the record may be a match. (Likely to occur when 1 or more digits of date are unknown - i.e. 19--?)
To the right of the record write:
PLEASE INVESTIGATE
MATCH ?
OCLC #
& circle date on the record.

2. Match records when date on OCLC record is open-ended and the record at hand has both the first and last dates.

However,

3. Return records when either the OCLC record or the one at hand has an open ended date & v- in 300 field and the other gives one date & specific paging information. Let institution make decision on how to handle.
To the right of the record write:
PLEASE INVESTIGATE
MATCH ?
OCLC #
& circle date and paging information on the record.

C. All match elements exist but information appears in different fields.

Once in a while you will come across a record for which a match exists but information on record at hand entered very differently from version on OCLC. Return this type of record.
To the right of the record write:
PLEASE INVESTIGATE
MATCH?
OCLC #

D. Variations in paging. All other elements of match exact.

1. Accept slight variation in paging-i.e. 5/10 pp.

2. If paging seems suspect, return record to institution.
To the right of record write:
PLEASE INVESTIGATE
MATCH ?
OCLC #
& circle paging on the record.

E. Variations in imprint

Return record if 260 delimiter b missing from either OCLC record or the one at hand (unless 260 1 applies). If you feel records match (i.e. publisher for record on hand (260,delimiter b) appears in note area of OCLC record), return record to institution.
To the right of the record write:
PLEASE INVESTIGATE
MATCH ?
OCLC #

PROCESSING EXACT MATCH RECORDS

Has record already been processed for your institution?

YES
if
the symbol for your institution appears at the top of the OCLC screen with no other information.

THEN

1. DO NOT INPUT THE RECORD AGAIN (since you can't determine whether the record is really a duplicate or has been entered for the institution under a different location unless YOU HAVE THE DUPLICATE RECORD(S) IN HAND, in which case:

a. Input BOTH duplicate records if LOCATION CODES ARE DIFFERENT.

(Follow processing exact match records procedure)

b. Input only ONCE when duplicate records have the SAME LOCATION CODE but DIFFERENT CALL NUMBERS. Enter separate 090 or 099 for each distinctive call #.

2. Write Inst. on file & OCLC # to the right of the record.

3. Add count to tally sheet under column 'INST. SYMBOL ON FILE.'

B. NO

if

find message 'NO HOLDINGS IN ---'(Institution's symbol)' at top of screen. Proceed as follows:

1. Enter 010 from LC record if available.

   a. Never alter 010 if record on file has DLC / DLC in 040 field.

   b. Do not enter 010 if LC record has been changed.

   c. Make corrections if detect errors in 010 field (Record will have been entered by institution other than DLC)

2. Input 1st indicator '0' in 050 field if it has been left off OCLC record.

3. Enter local call number in the 090 or 099 field (for non-LC type) unless your call number already appears in an 050 or 090 field.

   a. Superimpose your local call # over the existing 090 or delete the 090 on the screen (whichever is easier) and add the new 090 whenever your local call number differs from that shown on the OCLC record. (Make sure all types of local call numbers are deleted, including 092)

   b. See appendix on how to enter call # for specific institutions.

   c. Unusual call # should be brought to the attention of a librarian for decision.

4. Accept the general location code for your institution (as shown on the OCLC screen) unless a unique code has been provided on the record--usually to the right ; sometimes at the top of your record.

a. Input unique code, if given, in the 049 field. Place check by it to indicate that it was entered correctly.

b. Occasionally an institution will forget to write a unique code to the right of their record. If you feel this has occurred consult its or librarian or appendix for location symbols.

(After inputting unique symbol in 049 field, write the special symbol to right of your record; place check by symbol to indicate that you have entered it)

5. Enter your unique operator code within brackets in the 049 field. Do not leave spaces.

6. You may enter birth/death dates in delimiter d of 100 field if date(s) have been left out.

7. Check the 1st & 2nd indicators in the 245 field. Remember you must have both indicators. Check to see whether valid for your record.

8. You may accept slight variation in paging (i.e. 5-10pp). Change 300 delimiter a to reflect paging of your record. Don't bother to add preliminary pagging (usually in roman numerals) if it has been left off the OCLC record.

9. All fill characters in the variable field must be filled or the system will not allow you to update your record. (Consult OCLC manual for appropriate fill characters).

10. Write the OCLC # on your sheet to the right of your record.

11. Update & send your record.

12. Add count to tally sheet under column 'MATCH/UPDATE'.

13. Indicate on your tally sheet whether record was upgraded, downgraded, or equal. See appendix for details.

14. Continue to the next record.

(You must advance line & send each line you alter)

ALL MATCHING DONE FOR THE DAY MUST BE TURNED IN TO THE SENIOR DATA ENTRY OPERATOR FOR RANDOM SAMPLING OF QUALITY. Records with errors will be returned to operator(s) for correction(s); all other records will be placed in each operator's file box for filing.

(If you question alteration in your matching, place sheet (circle record in question) in basket for librarian to review.

PROCESSING WORKFORMS (NO MATCH RECORDS)

1. RE-SEARCH YOUR RECORD TO MAKE SURE IT HAS NOT ALREADY BEEN ENTERED. WE ARE TRYING TO AVOID DUPLICATION.

   If match exists, match record following guidelines outlined under processing exact match records. Discard the workform.

2. IF NO MATCH EXISTS enter 'wf' or 'new' command in the home position. Depress display & send keys. BE CAREFUL when using the 'NEW' command. You will be DELETING as well as ADDING information until the record on the screen ultimately matches the record you are entering.

3. Fill in all elements of the fixed field as indicated on the workform. Advance line & send the entire fixed field.

4. All information on the library record must be input in the appropriate variable fields unless it appears in non-romanized form and is not transliterated.

   a. Field tags & indicators will be supplied on the workform, while subfield codes and information should be taken directly from the record itself.

   b. The correct format for the local call # will be indicated on the workform.

5. Enter information 1 field at a time. You must advance line & send each field separately. DO NOT TYPE OVER PARAGRAPH MARK OR YOU WILL MOVE THE LINE BELOW ONTO THE SAME LINE THAT YOU ARE TYPING ON. To proceed you must re-enter the paragraph mark by depressing the control and return keys. Replace any lost information. See OCLC manual for specifics.

6. Accept the general location code for an institution as shown on the OCLC record unless a unique code has been provided on the record (usually to the right, sometimes at the top of the record). Input unique code if given. Place check by latter to indicate it was entered.

7. Enter your unique operator code within brackets in the 049 field. Do not leave spaces.

8. Once you have entered all information, reformat, & EDIT YOUR WORK CAREFULLY. Make the necessary corrections. Be sure to advance line & send each field corrected.

9. Update & send your record.

10. Reformat 'rf' to obtain the OCLC #

11. Write the OCLC # on your sheet to the right of the record you have just input.

12. Add '1' to count on tally sheet under column 'wf'

13. Retain workform with record.

14. Continue to the next workform.

At the end of your shift turn in all completed workforms to the library technical assistant assigned to you. Your workforms will be edited. Those with errors will be returned to you for correction; the remainder placed in your box for filing. Completed sheets should be inter-filed by institution/ packet #, sheet # in the proper location by institution. Ask the senior data entry operator if you can not locate where material for a specific institution files. File fifteen / twenty minutes daily, preferably when your terminal is down or response time is slowest.

GUIDELINES FOR FILING

Separate sheets into the following categories:

a. Sheets containing all records matched & updated.

b. Sheets containing record(s) with questionable matches.

c. Sheets containing record(s) needing transliteration.

Return arabic and sanskrit records needing transliteration to originating institution. We only have expertise to transliterate Russian, other slavic, Greek, Hebrew, Chinese language materials.

d. Sheets containg record(s) requiring workforms.

Inter-file each category of the above with like material at its special designation:

a. Completed sheets: By institution/packet #/ sheet # on specified table or shelf location. Ask senior data entry operator if can not locate where material for specific institution files.

b-d. Questionable matches and records needing transliteration or workforms: By institution/ packet # on designated areas of shelving behind the four main terminals.

Ideally inter-filing should be done on a daily basis, fifteen to twenty minutes, either when terminals are down or when response time is the slowest.

Retain sheets not yet completed in your individual work baskets.

PRE-SEARCHING

1. Each library technical assitant should spent approximately 2 hours each day re-searching records for which data operators could find no match. MAKE SURE YOU SEARCH UNDER EVERY POSSIBLE KEY. WE ARE TRYING TO AVOID DUPLICATION.

2. Place your number & date to write of pre-searched record for which can not find match.

3. If you find match, process record according to guidelines for processing match records.

TAGGING

1. TO AVOID DUPLICATION MAKE SURE THE RECORD YOU ARE ABOUT TO TAG HAS BEEN PRE-SEARCHED.

2. Prepare workform for each record to be 'originally input'.

    a. Indicate the packet #, sheet #, record #, & your code in the upper right hand corner of your workform.

    b. Fill in fixed field codes unless a default value applies.

    c. Enter tags and indicators for various fields on your workform. Enter on workform information for the following fields only: 010; 040; 041; 050; 090. Data entry operators will take information for all other fields from record itself.

    d. Enter sub-field codes on record itself.

3. Do not tag any K level records for BNG. All their K level records must be returned for tracings.

4. On statistics sheet indicate # of workforms completed and # of hours spent on this task.

5. Give completed workforms to librarian for editing (quality control)

    a. New lta's will have all their work checked until it is felt that they have acquired the expertise and judgement to work independently.

    b. All other lta's will have five workforms checked daily.

    All errors will be returned for correction.

6. If data entry operators detect incomplete workforms, they will return them for completion.

GUIDELINES FOR INPUTTING CALL NUMBERS/LOCATION CODES

FOR CORNELL

1. Eliminate words appearing before call numbers such as:

AFRICANA	Chemistry	HIST SCI	Physics	Under gr
Biblio	ENGR	ILR	Phys Sci	Wason
BPA	Engineering	Math Music	Rare	
Business	Fine Arts		Ref	

These words will be taken care of by the unique location code appearing to the right of your record. For instance, Business, Fine Arts, Chemistry appearing in the call # would be assigned location codes C00B, C00F, & C00$ respectively..

Tag call # 090.

Indicate unique location code in 049 field and place check by code on record to indicate it has been entered.

Consult location symbol sheet for Cornell / and/or / ask librarian for assistance if special code has been overlooked.

2. RETAIN WORDS appearing before a call number when the location symbol is general, C000. Some examples of this: DANTE, Petrarch, Adelmann, Classics Seminar.

DANTE	Petrarch	ADELMANN	CLASSICS SEMINAR
PQ	PQ	LF	CN
4311	4542	3573	350
D6	H47	A2	K63
1968			1966

Tag call # 099 & RETAIN GENERAL LOCATION SYMBOL, C000, in 049 field.

099 DANTE ǂa PQ ǂa 4311 ǂa D6 ǂa 1968
099 Petrarch ǂa PQ ǂa 4542 ǂa H47
099 ADELMANN ǂa LF ǂa 3573 ǂa A2
099 CLASSICS SEMINAR ǂa CN ǂa 350 ǂa K63 ǂa 1966

3. Eliminate both UNDERGR & REF when they appear as part of a call #. Input call # as 090 (if LC type) & the location symbol, C00U, in the 049 field (for undergraduate library).

UNDERGR		
REF	090	Z5630 ǂb .S72
Z	049	C00U
5630		
S72		

4. Tag call # beginning with NAC as 099.

NAC	099	NAC ǂa 1616 ǂa C21 ǂa C95
1616		
C21		
C95		

5. Tag call numbers not following LC scheme as 099.

Pamphlet	Mason	ar #	Film
G	Pamphlet	53719	1026
325	HC		
	Indo-		
	nesia		
	204		

099 Pamphlet ǂa G ǂa 325
099 Pamphlet ǂa HC ǂa Indo- ǂa nesia ǂa 204
(Mason taken care of by 049 CCOM--rule # 1)
099 ar # ǂa 53719
099 Film ǂa 1026

6. Tag call numbers in K schedule as 090. Place KO(zero) in delimiter a & cutter number preceded by decimal in delimiter b.

K K
P805
S934
L13

090 KO ǂb .P805
090 KO.S934 ǂb L13 (ignore the blank space)

7. Records which contain words along such as Architecture and Engineering for the call # should be returned. (DO NOT match or create workforms for these records).

8. By-pass all M classification. These will in all probability be music scores.

9. Match or tag workforms for ML & MT class numbers unless material is a score, in which case records should be by-passed.

FOR NEW YORK UNIVERSITY

1. Do not input words such as Heights, NLP, Education, Social Work which appear over the call #. Tag call # 090 (if LC type) & use the general ZYUU location symbol in the 049 field.

2. When Reference appears on the record (usually over the call # but may also appear elsewhere on the record), do NOT input word as part of the call #. Use ZYUR location symbol in the 049 field.

Place check by unique (ZYUR) symbol on record to indicate to editors that you have entered the unique code on OCLC.

3. Only input one (1) decimal point in front of letter. 25/4/80

FOR STONYBROOK

1. Ignore all words appearing before the call #.

2. Input call # in 090 (if LC type) & in 099 (if non-LC type)

3. In most instances the location symbol will be general, YSNM.

4. Input unique location code if one appears on your record(usually at the top or to the right of your record). Consult location symbol sheet for StonyBrook / and/or / ask librarian for assistance if special code has been overlooked.

Place check by the special location symbol on your record to indicate to editors that you have entered the unique code on OCLC.

FOR BUFFALO

1. Ignore all words appearing before the call #.

2. Input call # in 090 (if LC type) & in 099 (if non-Lc type).

3. Unless indicated to right of your record, all material is to be with the general location symbol, BUFF, in the 049 field.

GUIDELINES FOR INPUTTING CALL NUMBERS FOR SUNY/ALBANY

Eliminate words appearing above the call number such as UNI, SPE, SOC.REF, EXT

Some of these words indicate special holdings symbols to be put in the 049. A complete list is being sent to us. Until then keep the following 049's in mind:

SPE	NAMS	DOC	NAMD
EXT or EXT REF	NAME	LIB	NAML

Some of the words are eliminated, but no special holdings symbol is needed.

SOC REF	NAMM
UNI	NAMM
MIC FLM	NAMM